

11/30/01



1044 U.S. PTO

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Approved for use through 10/31/2002. OMB 0651-0032
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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	10775-36246
First Inventor	John A. Copeland, III
Title	Flow-Based Detection of Network Intrusions
Express Mail Label No.	EL617580535US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 38]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 9]
5. Oath or Declaration [Total Pages]
 - a. ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - b. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☒ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Transmittal of Computer Program Listing or CD

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information

Examiner

of prior application No.

Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☒ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

Name	John R. Harris				
	Morris, Manning & Martin, LLP				
Address	1600 Atlanta Financial Center, 3343 Peachtree Rd. NE				
City	Atlanta,	State	GA	Zip Code	30326
Country	US	Telephone	404-504-7720	Fax	404-36595

Name (Print/Type)	John Harris	Registration No. (Attorney/Agent)	30,388
Signature	<i>John R. Harris</i>	Date	11/30/01

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL
for FY 2002

Patent fees are subject to annual revision.

Complete if Known

Application Number	
Filing Date	November 30, 2001
First Named Inventor	John A. Copeland, III
Examiner Name	
Group Art Unit	
Attorney Docket No.	10775-36246

TOTAL AMOUNT OF PAYMENT (\$ 536

METHOD OF PAYMENT

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	
Deposit Account Name	

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:**

☒ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	370
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$ 370

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
20	-20** = 0	X 0	= 0
6	-3** = 3	X 42	= 126
Multiple Dependent			= 0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 126

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40

SUBMITTED BY

Name (Print/Type)	John Harris	Registration No. (Attorney/Agent)	30,388	Complete (if applicable)	Telephone	404-504-7720
Signature	<i>John R. Harris</i>			Date	November 30, 2001	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: John A. Copeland, III) Group No.:
Serial No.: TBA) Examiner:
Filed: November 30, 2001)
Title: FLOW-BASED DETECTION OF)
NETWORK INTRUSIONS)

TRANSMITTAL OF COMPUTER PROGRAM LISTING ON CD

Commissioner for Patents and Trademarks
P.O. Box 2327
BOX NEW PATENT APPLICATION
Arlington, VA 22202

Sir/Madam:

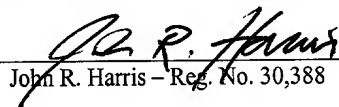
Pursuant to 37 C.F.R. § 1.52(a) the Applicant hereby submits herewith as a part of the above-identified patent application filing two (2) copies of one (1) compact disk (CD-R) entitled "Lancope Code.txt Computer Listing," each in conformance with the International Standards Organization (ISO) 9660 Standard, with the contents in compliance with the American Standard Code for Information Exchange (ASCII), enclosed in a hard compact case within an unsealed padded and protected mailing envelope, labeled as "Copy 1" and "Copy 2", accompanied by this transmittal letter, as required by said Rule.

In accordance with 37 C.F.R. § 1.52(e)(3)(ii), the operating system compatibility for the files contained herein are in the Microsoft Windows NT Operating System, and include the following ASCII text file contained on the compact disk, including their names, size in bytes, and dates of creation, as follows:

DATE OF CREATION	SIZE IN BYTES	FILE NAME
11/30/01	154,450	LANcope Code.txt

CERTIFICATE OF MAILING BY EXPRESS MAIL

I hereby certify under 37 C.F.R. § 1.10 that this correspondence is being deposited with the United States Postal Service with sufficient postage for Express Mail, Mailing No. EL617580535US in an envelope addressed to: Assistant Commissioner of Patents & Trademarks, BOX 2327, NEW PATENT APPLICATION, Arlington, VA 22202 on November 30, 2001.


John R. Harris - Reg. No. 30,388

Transmittal of Computer Program Listing on CD
Inventor: John A. Copeland, III
Filed: November 30, 2001
Page 2

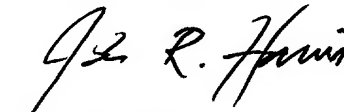
Pursuant to 37 C.F.R. § 1.52(e)(4), Applicant hereby states that the two compact disks identified as "Copy 1" and "Copy 2" are identical.

In accordance with 37 C.F.R. § 1.52(e)(6), each disk "Copy 1" and "Copy 2" is labeled with information indicating the name of the inventor, title of the invention, Applicant's docket number, the creation date of the compact disk (November 30, 2001), and an indication whether such copy is "Copy 1" or "Copy 2".

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Respectfully submitted,

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